

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
PUBLIC HEALTH SERVICE  
INDIAN HEALTH SERVICE**

**ALBUQUERQUE AREA INDIAN HEALTH SERVICE CIRCULAR NO. 2003-09**

**ALL HAZARDS EMERGENCY OPERATIONS PLAN  
FOR THE ALBUQUERQUE AREA OFFICE AND  
NATIONAL PROGRAMS – ALBUQUERQUE**

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1. PURPOSE. The purpose of this circular is to establish policies, procedures, and operational plans for the implementation, management, and administration of the Albuquerque Area Office (AAO) and National Programs-Albuquerque operations during emergency situations. It incorporates guidance for operations for all types of hazards and also includes the Continuity of Operations Plan (COOP) (See Exhibit I) for continuation of essential operations during disruption of normal services. This circular assigns responsibilities to all levels of AAO and National Programs management staff. All emergency operations activities are an extension of the normal functions of the Area senior management officials and their departments throughout the Area.
2. OBJECTIVES.
  - A. To protect life, health, and property during emergency operations.
  - B. To provide guidance for operations during emergency situations.
  - C. To ensure the continuous performance of essential functions and operations during emergencies.
  - D. To reconstitute, as rapidly as possible, IHS operations adversely impacted during emergency situations.

- E. To support regular training and exercises designed to enable all AAO/National Programs-Albuquerque personnel to protect life and health and to perform assigned duties.

3. SCOPE.

- A. Applicability. This circular applies to all levels of Area management and addresses all functions and activities relating to emergency operations and Continuity of Operations Plan (COOP) function to ensure business continuity. As used in this circular, preparedness functions include plans, procedures, and readiness measures including mitigation strategies that enhance the IHS's ability to prepare for, respond to, function under, and recover from a wide range of natural or man-made disasters.
- B. Contingencies. Emergency planning requires the consideration of a wide range of possible situations that could disrupt normal operations or require response to an unusual situation. These possibilities include, but are not necessarily limited to:
  - (1) A national emergency such as a war involving the United States Armed Forces.
  - (2) A conventional, nuclear, chemical, or biological attack on the U.S.
  - (3) Any threat to the continuity of operations of the Federal Government.
  - (4) Natural disasters such as floods or severe snowstorms.
  - (5) Technological disasters such as the uncontrolled release of radiological materials or other hazardous materials (HAZMAT) incidents.
  - (6) Civil disorders, riots, terrorism, or other large scale violent acts.
  - (7) Events declared by the President of the United States to be major disasters under Public Law 93-288, the "Robert T. Stafford Disaster Relief and Emergency Assistance Act" as amended.
- C. Primary Assumptions. The emergency operations primary assumptions are:
  - (1) An emergency or disaster could occur at any time.
  - (2) Adverse conditions could cause a much greater demand for certain IHS Services, internal and/or external to the IHS.

4. POLICY. It is the policy of the AAIHS that all Federal employees and contractors, and our customers, clients, and visitors are ensured a safe and secure environment within the Area Office building and other locations under the management of the AAO.

The AAO shall have in place a viable plan to provide emergency services and continuity of operations during emergency situations. All Area senior management officials shall have sufficient capabilities to respond to the needs of individuals, as well as tribal, local, state or Federal governments where required by law or binding policy. Agency policies apply to all levels of IHS staffing.

The Department of Health and Human Services (DHHS), Office of Emergency Preparedness (OEP) requires all DHHS agencies to have a plan to ensure continuity of essential business functions under all circumstances. Federal Preparedness Circular (FPC) 65 addresses Federal Executive Branch Continuity of Operations Planning. FPC 65 also provides guidance relating to performance and continuation of essential functions during emergencies and outlines the process of reestablishing essential functions at alternate locations to ensure continuity of business operations in the event of an emergency that disrupts the normal operations site.

A. Delegation of Authority.

Senior management officials are authorized to re-delegate the functions assigned by this policy, and to authorize successive re-delegations to organizations or employees under their respective jurisdiction. Copies of written delegations shall be forwarded to the Director, AAO, through the Executive Officer, AAO.

1. If, during a national emergency, an Area Office component is cut off from communications with the Area Director, the local senior manager is delegated temporary authority with respect to all laws administered by IHS, to the extent necessary to carry out IHS responsibilities within the scope of the Area Director's responsibility.
2. Senior officials assuming authority under the paragraph above will perform prescribed duties in accordance with existing governing statutes, regulations and policies. Any required referral to the Area Office for the Area Director's approval waived in the automatic delegation above is in effect until communication with the responsible official becomes possible.
3. In the event of a local disaster during a declared national emergency, IHS medical facilities may provide emergency medical care to civilian and military authorities, and to injured persons regardless of statutory eligibility, as necessary to save lives and prevent suffering in accordance with existing Federal laws, regulations and policies.

B. Conflicting Civilian and Military Obligations

Any IHS employee in the Ready Reserve, National Guard, or Commissioned Corps of the United States Public Health Service (USPHS) shall be available for deployment on active military duty status in a national emergency. Deployments of USPHS Commissioned Corps Officers under the Commissioned Corps Readiness Force (CCRF) or other commissioned corps deployments that are not military deployments, shall not be considered to be in conflict with normal duties. The deployment is considered as an acceptable “absence from normal duty, just as in a military deployment.”

5. DEFINITIONS

- a. *Albuquerque Area Office.* Includes the Area Office Building, grounds, and warehouse.
- b. *Critical Incident.* Any event or occurrence that poses a real or potential threat to the physical safety and/or security of any federal employee or visitor at the Albuquerque Area Office.
- c. *Incident Command System.* A standardized emergency command and control system recognized and utilized numerous local, state, and Federal emergency response entities for the management of emergency situations.

6. AUTHORITY.

The Director, AAIHS, has the authority and responsibility, through the various laws, regulations, and policies listed below, to ensure a safe and secure work environment for all Federal employees and visitors within the AAO building space.

- A. National Security Act of 1947, as amended.
- B. Executive Order 12656, Assignment of COOP Responsibilities, November 18, 1988, as amended.
- C. Executive Order 12472, Assignment of National Security and COOP Telecommunications Functions, April 3, 1984.
- D. Executive Order 12148, Federal Emergency Management, July 20, 1979, as amended.
- E. Presidential Decision Directive 67, Continuity of Operations Planning. October 21, 1998.
- F. The Federal Response Plan, (Public Law 93-288, as amended), April 1999.
- G. Federal Preparedness Circular (FPC) 65, July 26, 1999.

- H. Federal Preparedness Circular (FPC) 67, April 30, 2001.
- I. Indian Health Service Circular No. 2002-02, August 9, 2002.

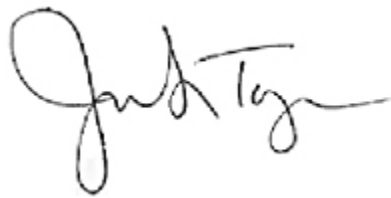
7. RESPONSIBILITIES. The designated Physical Security Coordinator (PSC) is responsible for carrying out this policy and directing emergency response activities under delegation from the Area Director. The designated Incident Command System (ICS) Team is responsible for local command and control during an emergency event or critical incident. Every employee of the AAO/National Programs-Albuquerque is responsible for compliance with procedures outlined in this Circular and will take direction from an ICS Team member in any critical incident. The Incident Command System Team is responsible for:

- A. Developing written policies and procedures relating to emergency response.
- B. Developing and providing for training in the procedures for emergency response.
- C. Reviewing and updating emergency response policies and procedures annually or as needed.
- D. Implementing emergency response policies and procedures.
- E. Receiving training in the Incident Command System.
- F. Ensuring that someone from the ICS Team is available during routine operations of the Area Office.
- G. Implementing the Incident Command System during any critical incident that occurs.
- H. Providing briefings on critical incidents to the Area Director and others as deemed appropriate for the situation.
- I. Meeting at least quarterly to review issues relating to security, safety and emergency response.
- J. Providing recommendations to management relating to security, safety and emergency response.

8. PROCEDURES. This plan outlines organizational structures and procedures to be followed by the AAO/National Programs-Albuquerque staff during various scenarios that are outside of normal operating conditions of the office. It incorporates the nationally recognized structure of the Incident Command System (ICS) in its design (See Exhibit I., Incident Command System Annex). This architecture allows for the use of common terminology and command structure that is widely recognized and has been proven effective in countless emergency situations. It also allows for ease of communication and operation with outside responders due to common terminology and structure.

The plan is structured with general information in the first sections and specific guidance relating to particular scenarios as functional annexes to the overall plan. This allows both an easy access to specific information when necessary as well as providing for efficient additions or updates of specific sections without the necessity of modifying the entire plan. Version dates are clearly indicated so that responders will know they are using the same version of the plan.

- A. Functional Annexes – these annexes provide information about how specific functions will be carried out during various emergency operations.
- B. Coordination with Federal, State, and Local Authorities - In the event that any aspect of this plan is activated, appropriate Federal, State, and local authorities as well as IHS Headquarters and tribal programs will be notified. Details for notification are outlined in each functional annex. Pertinent information for contacts is located in the Emergency Contacts Annex. This information will be checked, and modified as necessary. At a minimum, updates will be addressed two times per year during emergency services exercises.
9. EFFECTIVE DATE. This circular is effective on the date of signature and shall remain in effect until canceled or superseded.



11/26/03

James L. Toya, M.P.H.  
Director, Albuquerque Area Indian Health Service

## Continuity of Operations Plan Annex

Events may occur that render the office space unavailable for business for some period of time. Examples include natural disasters such as tornadoes, ice storms, floods, and man made events such as chemical spills, power outages, and even terrorist activities. This annex describes procedures to be utilized in such events, to allow business to continue in a reasonable fashion until the situation returns to normal. The objective of continuity planning is to ensure that successful operation of The Albuquerque Area Office's core processes are carried out, throughout potential risks to business operations, by defining approaches and plans to address such events. This document supports this objective in two ways:

1. It documents the process by which the IHS is conducting its continuity planning, ensuring that a consistent and comprehensive effort is being carried out throughout the Area.
2. It serves as the repository of developed continuity planning information. It identifies core business processes, the minimum acceptable levels of outputs and services, the systems and infrastructure components that are essential to support these processes, and the steps and resources necessary to provide basic services in the event problems occur that interrupt normal services.

### Definitions

- **Continuity of Operations Plan:** A plan that focuses on specific business processes. The plan describes the approach and steps that will be taken to ensure the process can continue in spite of disruptions to systems or infrastructure components.
- **Contingency Plan:** A plan that focuses on a specific business-essential system or other critical resource (e.g., a building). The plan addresses how the organization will respond to the loss or degradation of the system or resource and describes the steps to be taken to ensure it is restored. Each office is responsible for developing and carrying out contingency operations to maintain their (see definitions below) minimum acceptable level of service for their core business processes.
- **Essential Business Functions:** A series of actions, functions, or transformations that, if the organization is unable to perform, results in an unacceptable impact on the mission of the organization. A core business process must also be sufficiently time critical that it could not be deferred for up to 72 hours.
- **Priority:** The relative importance of the core process in meeting the organization's goals.

- **Minimum Acceptable Level of Service:** The minimum acceptable level of output or service from the core process that will be minimally acceptable to the user or customer for a finite period of time.

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- **Customers:** The customers, recipients, or users of the service or output of the core process.
- **Supporting Systems and Resources:** Systems and other resources (including facilities and infrastructure components) upon which the core process depends.
- **Failure Scenarios:** Potential failure scenarios for each supporting system and resource that may occur.
- **Impact on Process:** The nature and severity each failure scenario would have on the core process, should it occur.
- **Trigger:** A predetermined event or set of circumstances that will force the contingency operating plan to be implemented.
- **Approach for Continuing Operations:** The business continuity strategy that will be followed for each failure scenario.
- **Contingency Resource Requirement:** The resources that will be required to perform the business process in the contingency mode of operations.
- **Alternate Work Site:** A facility away from the normal office location that can be utilized to perform required work activities. This includes sites where the entire office staff may be relocated, as well as individual small sites that would allow individual staff members to carry out their work functions.
- **Core Staff:** Staff members designated as a core of people who are critical to ensure the performance of essential functions. These staff members are not necessarily the most senior employees, but represent a cross-section of staff that can make critical decisions and/or continue the processes necessary for essential services.

### **Organization, Roles and Responsibilities**

Within The Albuquerque Area Office, the Continuity of Operations and Contingency Plan (COCP) is the overall responsibility of the Area Director. The individual Office Directors are responsible for the development, review, and implementation (if necessary) of their specific sections of this COCP.

### **Essential Functions**

This section defines the essential functions supported by various offices which, if they could not be performed, would have an unacceptable impact on the ability of the Albuquerque Area Office to fulfill its mission and conduct its operations. It is therefore necessary to make arrangements to continue these processes in a timely manner in the event of normal disruption of all normal business processes.



### **Office of the Area Director**

- Maintain communication with IHS Headquarters and the area facilities to provide medical advice and guidance for the management of health services delivery.
- Provide a safe, adequate, and secure work environment for the Area Office Staff and other IHS locations.
- Manage emergency operations and critical services in response to emergency situations.
- Coordinate the development and reporting of Situation Reports (SITREPS) to appropriate entities.

### **Financial Management Staff**

Provide financial management and services through accounting (services for obligations, receipts, outlays, and transfers including federal and non-federal) and disbursement for the management of IHS appropriated funds and resources.

### **Acquisition Management/Contracting**

Provide acquisition support for Area procurements with the authority to enter into, administer, or terminate commercial contracts, through the Contracting Officer; authority to enter into, and administer, or terminate tribal and urban contracts, authority to enter into, and administer, or terminate treatment center contracts.

### **Property Management**

Perform property management activities by providing telephone service and site visits as necessary and certifying receipt of procurements.

### **Personnel Management**

Perform personnel management and training services by maintaining official personnel records and performing payroll and time-keeping activities.

### **Facilities Management**

Provide support for facility management through managing the Area Office building functions; coordinating problems for leased facilities with building owners; and providing technical advice to service units and tribal programs relating to facilities issues.

### **Sanitation Facilities Construction**

Support sanitation facilities construction projects through providing technical assistance to tribes with community water and sewer emergencies.

### **Environmental Health Services**

- Provide environmental health services through securing and providing access to an environmentally safe facility for the Area Office.
- Plan, establish, direct and coordinate the Albuquerque Area Office of Environmental Health Services to meet the identified needs of the Native American service population and address the current environmental health issues of the Indian Health Service or other entities as needed. This would include providing emergency environmental health services during a crises situation.

### **Epidemiology and Statistical Services**

- Review status of data submission to the Albuquerque Data Center to prevent loss of data due to incomplete or inadequate download of facility data. Develop statistical summaries used for determining direct funding allocations in self-governance or 638 contract negotiations. Develop methodologies used for estimating allocation of administrative funding for self-governance or 638 contract negotiations.
- Serve as Principle Epidemiologist and liaison with the various Federal Agencies, Tribal Programs and State Departments of Health coordinating disease surveillance of morbidity, mortality, and natality. Prepare statistical reports submitted to IHS Headquarters for inclusion in documents responding to Congress and in support of budget requests and special needs during emergency situations.

### **Contract Health Services**

Support contract health services (CHS) activities through negotiating, certifying, and overseeing contracts/agreements for specialized medical care. Coordinate vendor relations to ensure on-going relationships for the benefit of the patient. Coordinate activities with fiscal intermediary to ensure accurate and prompt payment of Contract Health Services claims; coordinate data transmission activity to ensure accurate interface with finance system.

### **Office of Tribal Support (OTS)**

- The OTS provides 638 contracting assistance to Tribes, Indian Health Service and 437 assistance to Urban Health programs. The assistance is comprised of technical assistance in 638 law, regulations, on-site visits, and training on health care delivery systems in the Albuquerque Area. Contract administration includes technical assistance in proposals, researching of IHS functions at various administrative levels,

negotiations with various parties and eventual awarding of contracts including describing programs, functions, services and activities of IHS.

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- Financial information is compiled and negotiated with tribes and tribal organizations. Upon awards, the OTS works with tribes and IHS on monitoring visits, assurance of completing SOW, audit compliance with Inspector General, renewal of contracts and assuring acceptable health services are provided to tribal beneficiaries. Overall functions of OTS are predominately administrative in nature and there is no direct health services provision by staff.
- OTS can relocate to another temporary building with telecommunications within two hours.
- OTS can use off site telecommunications from Home, facilities or even with tribes to perform administrative duties.
- OTS can move their current working files within 2 hours and keep communications via laptops and cell phones.
- OTS can work out of service units or tribal buildings to maintain current work.

#### **Information Resources Management**

- Identify prior to each new implementation of services, hardware/software needs.
- Support the installation and operation of computer and telecommunications equipment.
- Support ADP/Telecommunications equipment, and connectivity plans including temporary operations.
- Manage RPMS site and various applications.
- Test, disseminate, and install all new RPMS application software including subsequent upgrades and patches.
- Evaluate office automation software for network use including remote or temporary alternate operations.
- Provide the service (labor and parts) required to diagnose and repair unanticipated hardware/software failures.
- Acquire the support services necessary to maintain adequate hardware/software functionality.
- Function as Area Information Systems Coordinator.

- Provide and maintain a reliable, high speed communications network for the receipt and/or transmission of core data to the IHS data center.
- Receive and/or transmit core data to the IHS Data Center.

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- Operate an Area-wide Help Desk 5 days per week, 10 hours per day to answer user questions as appropriate.
- Provide support services to install and maintain local area networking.
- Ensure the availability, confidentiality, and security of information systems within Federal guidelines.

### **Activation of the Plan**

The Area Director or his designee will activate the Plan as necessary. This activation could be of limited scope or activation of the entire plan as warranted by the situation. The estimated length of interruption to normal services and the extent of this interruption would be influential factors in determining the level of activation of the plan.

Upon activation of the COOP, the Albuquerque Area Incident Command System Team (ICST) will meet in the Area Director's Conference Room or another location if the Area Office Building is uninhabitable. At that time the ICST will determine the necessary scope of COOP implementation and will determine whether or not to move the essential functions to the emergency relocation facility.

The emergency relocation facility for the Albuquerque Area Office is the Isleta Health Center. The management at that facility has generously offered the use conference room, library, and any available office space at no cost to the Albuquerque Area Office. Each of these spaces is equipped with electrical outlets, phone jacks, and data lines. The space available at the Isleta Health Center is adequate to meet the needs of the Area during COOP activation.

## INCIDENT COMMAND SYSTEM ANNEX

The following description of the ICS is derived from the Federal Emergency Management Agency (FEMA) Basic Incident Command System Independent Study Course, IS-195/Jan. 1998. ICS is the model tool for command, control, and coordination of a response and provides a means to coordinate the efforts of individual agencies as they work toward the common goal of stabilizing the incident and protecting life, property, and the environment. The ICS uses principles that have been proven to improve efficiency and effectiveness in a business setting and applies those principles to emergency response. History has proven that ICS can be used to manage all types of incidents. Federal law requires the use of ICS for response to HAZMAT incidents and many organizations have adopted ICS for their response to all types of incidents. The ICS has been successful because it uses a common organizational structure, common terminology, and utilizes key management principles in a standardized way. It provides for a coordinated effort to ensure an effective response and efficient and safe use of resources.

The ICS organization is built around five major components:

- Command
- Planning
- Operations
- Logistics
- Finance/Administration

All incidents, regardless of size or complexity will have an *Incident Commander*. The Incident Commander (IC) is responsible for on-the-scene management until command authority is passed off to another person who then becomes the Incident Commander. Initially, the Incident Commander will be the first senior responder to arrive at the scene. As additional responders arrive, transfer of command may take place. Upon transfer in command, the outgoing Incident Commander must give the incoming Incident Commander a thorough briefing and notify all staff of the change in command. When expansion of staff is required, the Incident Commander will establish the other Command Staff positions as listed below.

- The *Public Information Officer* handles all media inquiries and coordinates the release of information to the media.
- The *Safety/Security Officer* monitors safety conditions and develops measures for ensuring the safety of all assigned personnel.

- The *Liaison Officer* is the on-scene contact for other agencies assigned to the incident.

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The Incident Commander will base the decision to expand or contract the ICS organization on three major incident priorities:

- Life safety – highest priority.
- Incident stability - minimize the effect of the incident on the surrounding area and maximize response effort while using resources efficiently.
- Property conservation – minimize damage to property while achieving the incident objectives.

As incidents become more involved, the Incident Commander can activate additional General Staff such as *Planning, Operations, Logistics*, and/or *Finance/Administration* as necessary. Each Section Chief, in turn, has authority to expand internally to meet the needs of the situation.

### Planning Section

In smaller events, the IC is responsible for planning, but larger scale incidents may warrant implementation of a Planning Section. This section's functions include the collection, evaluation, dissemination, and use of information about the development of the incident and the status of resources. Responsibilities may also include the creation of an Incident Action Plan (IAP) which defines the response activities and the resource utilization for the specified time period.

### Operations Section

The Operations Section is responsible for carrying out the response activities described in the IAP. The Operations Section Chief coordinates Operations Section activities and has primary responsibility for receiving and implementing the IAP. The Operations Section Chief reports directly to the Incident Commander and determines the required resources and organizational structure within the Operations Section. Main responsibilities include:

- Direct and coordinate all operations, ensuring the safety of Operations Section Personnel
- Assist the IC in developing response goals and objectives for the incident.
- Implement the IAP
- Request or release resources through the IC
- Keep the IC informed of the situation and resource status within operations.

### Logistics Section

The Logistics Section is responsible for providing facilities, and materials, including personnel to operate the requested equipment and supplies for the incident.

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### Finance/Administration Section

The Finance/Administration Section is critical for tracking incident costs and reimbursement accounting and carrying out financial responsibilities for operations. The administration component is responsible for administrative aspects of the operation such as contracting, purchasing, administrative processing, etc.

### Incident Command System Team

The Incident Command System Team (ICST) is a team of staff members from the various offices located in the Albuquerque Area Office Building. Members of this team have diverse backgrounds and fields of expertise. Upon notification of an event which would activate the ICST, the Incident Commander or his designee will immediately notify the team members of the need to respond to the event. Upon activation, the team will report as instructed and activate the Incident Command System as appropriate for the situation. The team will follow the ICS procedures, structure, and philosophy in its response.

The following individuals have been appointed ICST positions for the Albuquerque Area Office:

<b>Position</b>	<b>Primary Appointment</b>	<b>Secondary Appointment</b>
Incident Commander	James Toya	Sandra Winfrey
Public Information Officer	Ervin Lewis	Jeff Morris
Safety/Security Officer	Jeff Morris	Darrell LaRoche
Liaison Officer	Russell Pederson	Jeff Morris
Planning Section Chief	Darrell LaRoche	Joey Lucero
Logistics Section Chief	Martha Aragon	Leonore Garcia
Operations Section Chief	Sandra Winfrey	Ervin Lewis
Finance/Administration Section Chief	Rhonda Robinson-Boal	John Tafoya
Liaison, National Programs	Russ Pittman	Ken Russell-Acting

